



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/771,331 Confirmation No. : 2561  
First Named Inventor : Orlaw MASSLER  
Filed : February 5, 2004  
TC/A.U. : 1762  
Examiner : K. Stouffer  
Docket No. : 080313.48830D1  
Customer No. : 23911  
Title : Dlc Coating System and Process and Apparatus for  
Making Coating System

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.97 AND 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, the attached Form PTO-1449 lists documents which the Examiner may deem relevant to patentability of the claims of the above-identified application.

I. Time Period of Submission

This Information Disclosure Statement is submitted:

☐ 1) no later than three months from the application's filing date or 2) before the mailing date of the first Office Action on the merits (whichever is later) or 3) before a first Office Action after the filing of a Request for Continued Examination, and therefore no statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

☒ 2) after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, a Notice of Allowance, or an action closing prosecution (*Ex parte Quayle*), (whichever is earlier), and therefore Applicant is filing concurrently herewith:

☐ a Statement under 37 C.F.R. § 1.97(e); or

☒ a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

☐ 3) after either a Final Office Action or a Notice of Allowance, but before payment of the Issue Fee, and therefore Applicant is submitting herewith:

a Statement under 37 C.F.R. § 1.97(e); and

a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

II. Statement Under 37 C.F.R. § 1.97(e)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or

☐ I hereby state that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making a reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement; or

III. Statement under 37 C.F.R. § 1.704(d)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

IV. Submission of Non-English Language Documents

☒ The following is a concise explanation of relevance of the non-English language documents listed in the attached Form PTO-1449:

☐ The relevance of document(s) \_\_\_\_\_ to the subject matter of the present invention is/are provided in the specification of the above-identified application.

☒ Corresponding foreign or international report(s) citing document(s) AR, BD, BF & BG, together with an English-language version(s) (if not already in English) of that portion of the report(s) indicating the degree of relevance found by the foreign office(s) is/are submitted.

☒ English language family member publication(s) of document(s) AS, AT, AU, AV, AW, AZ, BJ & BK is/are noted on Form PTO-1449.

☒ English language abstract(s) is/are submitted for document(s)  
AR, AS, AT, AU, AV, AX, BB, BD, BE, BF, BG, BJ & BL.

☐ English translation(s) of the foreign language document(s)  
\_\_\_\_\_ is/are submitted herewith.

☐ Applicant submits the following explanations:  
\_\_\_\_\_.

V. Continuations/Divisionals

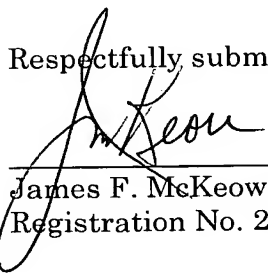
☐ Documents \_\_\_\_\_ were of record in parent application Serial No. \_\_\_\_\_, filed \_\_\_\_\_, from which this application claims benefit. As provided in 37 C.F.R. §1.98(d), copies of the documents are not being provided since they were previously submitted to or cited by the United States Patent and Trademark Office in the afore-mentioned parent application.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

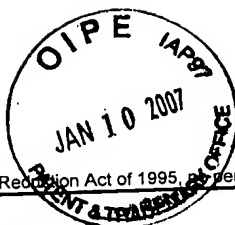
If necessary, this paper should be considered as an authorization to charge Deposit Account 05-1323, Attorney Docket No.: 080313.48830D1, for the fee set forth in 37 C.F.R. § 1.17(p).

Respectfully submitted,

January 10, 2007

  
\_\_\_\_\_  
James F. McKeown  
Registration No. 25,406

CROWELL & MORING LLP  
Intellectual Property Group  
P.O. Box 14300  
Washington, DC 20044-4300  
Telephone No.: (202) 624-2500  
Facsimile No.: (202) 628-8844  
JFM:mc



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 5

**Complete if Known**

Application Number	10/771,331
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First Named Inventor	Orlaw MASSLER
Art Unit	1762
Examiner Name	K. Stouffer
Attorney Docket Number	080313.48830D1

**U.S. PATENT DOCUMENTS**

U.S. PATENT DOCUMENTS

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
	AA	US- 4,992,153		02/12/1991	Bergmann et al.	
	AB	US- 5,556,519	A	09/17/1996	Teer	
	AC	US- 5,629,086	A	05/13/1997	Hirano et al.	
	AD	US- 5,695,832	A	12/09/1997	Hirano et al.	
	AE	US- 5,709,784	A	01/20/1998	Braendle et al.	
	AF	US- 5,712,000	A	01/27/1998	Wei et al.	
	AG	US- 5,750,210	A	05/12/1998	Schmidt et al.	
	AH	US- 6,338,881	B1	01/15/2002	Sellschopp et al.	
	AI	US- 6,171,454	B1	01/09/2001	Weber et al.	
	AJ	US- 6,372,303	B1	04/16/2002	Burger et al.	
	AK	US- 2003/0091742	A1	05/15/2003	Forget et al.	
	AL	US- 5,015,494		05/14/1991	Yamazaki	
	AM	US- 4,973,494		11/27/1990	Yamazaki	
	AN	US- 4,869,923		09/26/1989	Yamazaki	
	AO	US- 4,877,505		10/31/1989	Bergmann	
	AP	US- 6,171,454	B1	01/09/2001	Weber et al.	

Examiner  
SignatureDate  
Considered

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Sheet 2 of 5	Attorney Docket Number	080313.48830D1		

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		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	AQ	DD 133688	01/17/1979	Siehe		
	AR	DE 195 13 614 C1	10/02/1996	Fraunhofer GES Forshung et al.		ABS
	AS	DE 196 35 736 C2	03/05/1998	Saxonia Umformtechnik GmbH	Corresponds to AH	ABS
	AT	DE 197 40 793 A1	03/18/1999	Robert Bosch GmbH	Corresponds to AI	ABS
	AU	DE 198 26 259 A1	12/17/1998	Robert Bosch GmbH	Corresponds to AJ	ABS
	AV	DE 199 60 092 A1	07/12/2001	Robert Bosch GmbH	Corresponds to AK	ABS
	AW	DE 38 76 120 T2	06/24/1993	Semiconductor Energy Laboratory Co., Ltd.	Corresponds to AL, AM & AN	ABS
	AX	DE 41 26 852 A1	02/18/1993	Krupp Widia GmbH		ABS
	AY	DE 43 43 354 A1	06/22/1995	Robert Bosch GmbH		
	AZ	EP 0 306 612 A1	03/15/1989		Corresponds to AO	
	BA	EP 0 413 291 B1	02/20/1991	Hauzer Holding B.V.		
	BB	EP 0 413 853 B1	02/27/1991	Balzars Hochvakuum		ABS
	BC	EP 0 577 246 A1	01/05/1994	ISM Technologies, Inc.		
	BD	EP 0 600 533 A1	06/08/1994	V.I.T.O.		ABS
	BE	EP 0 962 550 B1	12/08/1999	V.I.T.O.		ABS
	BF	FR 2 596 775 A1	10/09/1987	Universite De Limoges		ABS
	BG	JP 10 137861 A	05/26/1998	Sky Alum Co., Ltd.		ABS
	BH	WO 90/02216 A1	03/08/1990	VAC-TEC SYSTEMS, INC.		
	BI	WO 95/04368 A1	02/09/1995	INSTITUTE OF PHYSICS ACADEMY OF SCIENCES OF THE CZECH REPUBLIC		
	BJ	WO 97/34315 A1	09/18/1997	Balzars Aktiengesellschaft	Corresponds to AE	ABS
	BK	WO 99/14390 A3	03/25/1999	Robert Bosch GmbH	Corresponds to AQ	ABS
	BL	WO 99/27893 A2	06/10/1999	Teer Coatings Limited		

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		Application Number	10/771,331		
		Filing Date	February 5, 2004		
		First Named Inventor	Orlaw MASSLER		
		Art Unit	1762		
		Examiner Name	K. Stouffer		
Sheet	3	of	5	Attorney Docket Number	080313.48830D1

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	BM	K. TAUBE, "Carbon-based coatings for dry sheet-metal working", Elsevier Science S.A., Surface and Coatings Technology, 1998, vol. 98, pp. 976-984	
	BN	A. A. VOEVODIN et al., "Design of a Ti/TiC/DLC/ functionally gradient coating...", Elsevier Science S.A., Thin Solid Films, 1997, Vol. 298, pp. 107-115	
	BO	Y. LIFSHITZ, "Diamond-like carbon - present status", Elsevier Science S.A., Diamond and Related Materials, 1999, Vol. 8. pp. 1659-1676	
	BP	ALFRED GRILL, "Diamond-like carbon: State of the art", Elsevier Science, S.A., Diamond and Related Materials, 1999, Vol. 4, pp. 428-434	
	BQ	J. DENG et al., "DLC multilayer coatings for wear protection", Elsevier Science S.A., Diamond and Related Materials, 1995, pp. 936-943	
	BR	W. HEINKE et al., "Evaluation of PVD nitride coatings, using impact, scratch and Rockwell-C adhesion tests", Elsevier Science S.A., Thin Solid Films, 1995, Vol. 270, pp. 431-438	
	BS	K. Y. LI et al., "Mechanical and tribological properties of diamond-like carbon films prepared on Steel by ECR-CVD process", Elsevier Science S.A., Diamond and Related Materials, 2001; Vol. 10, pp. 1855-1861	
	BT	T. MICHLER et al., "Mechanical properties of DLC films prepared by bipolar pulsed DC PACVD", Elsevier Science S.A., Diamond and Related Materials, 1998, Vol. 7, pp. 1333-1337	
	BU	B. ORAL et al., "Adhesion and structural changes of multi-layered and multi-doped a-C:H films during annealing <sup>1</sup> ", Elsevier Science S.A., Diamond and Related Materials, 1996, Vol. 5, pp. 932-937	
	BV	M. GRISCHKE et al., "Variation of the wettability of DLC-coatings by network modification using silicon and oxygen", Elsevier Science S.A., Diamond and Related Materials, 1998, Vol. 7, pp. 454-458	
	BW	M. GRISCHKE et al., "Application-oriented modifications of deposition processes for diamond-like carbon based coatings", Elsevier Science, S.A., Surface and Coatings Technology, 1995, Vol. 74-75, pp. 739-745	

Examiner Signature	Date Considered
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		Art Unit	1762
		Examiner Name	K. Stouffer
Sheet 4 of 5	Attorney Docket Number	080313.48830D1	

### NON PATENT LITERATURE DOCUMENTS

BX	T. MICHLER et al., "Continuously deposited duplex coatings consisting of plasma nitriding and a-C:H:Si deposition <sup>1</sup> ", Elsevier Science S.A., Surface and Coatings Technology, 1999, Vol. 111, pp. 41-45
BY	PHILIP M. RICE et al., "Correlation of Nanoindentation and Conventional Mechanical Property Measurements", IBM Almaden Research Center, San Jose, CA, USA/Oak Ridge National Laboratory, Oak Ridge, TN, USA
BZ	T. MICHLER et al., "DLC Films deposited by bipolar pulsed DC PACVD", Elsevier Science S.A., Diamond and Related Materials, 1998, Vol. 7, pp. 459-462
CA	K. TAUBE et al., "Improvement of carbon-based coatings for use in the cold forming of non-ferrous metals", Elsevier Science S.A., Surface and Coatings Technology, 1994, Vol. 68-69, pp. 662-668
CB	D. HOFMANN et al., "Plasma-booster-assisted hydrogenated W-C coatings", Elsevier Science S.A., Surface and Coatings Technology, 1995, Vol. 73, pp. 137-141
CC	U. MUELLER et al., "Pores in hydrogenated amorphous carbon films on stainless steel", Elsevier Science S.A., Surface & Coatings Technology, 1995, Vol. 71, pp. 233-238
CD	C. DONNET, "Recent progress on the tribology of doped diamond like and carbon alloy coatings: a review", Elsevier Science S.A., Surface and Coatings Technology, 1998, Vol. 100-101, pp. 180-186
CE	A. VARMA et al., "Tribological Behaviour of Si-DLC Coatings", Surface Engineering, 1999, Vol. 15, No. 4, pp. 301-306
CF	VON H. DIMIGEN, "Neue Ansätze zur wirtschaftlichen Fertigung optimierter Schichtsysteme", Fraunhofer Institut fuer Schicht- und Oberflächentechnik IST, Galvanotechnik, Heft 5, 1998
CG	A. HIEKE, "Diamantähnliche Kohlenstoffsichten (DLC) – verschleissfest and reibarm", Materialwissenschaften und Werkstofftechnik, 2000, Vol. 31, pp. 625-628

Examiner Signature	Date Considered
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		Art Unit	1762
		Examiner Name	K. Stouffer
Sheet 5 of 5	Attorney Docket Number	080313.48830D1	

### FOREIGN PATENT DOCUMENTS

CH	"Hardness Conversion Chart", NDT Resource Center, Hardness Testing, ASM Internationals, Metals Park, OH, 1987
CI	VON U. MUELLER et al., "Ultrahartstoff-Beschichtungen aus Kohlenstoff", Oberflaechen Werkstoffe
CJ	T. KRUMPIEGL, (Lehrstuhl fuer Konstruktionstechnik) "Vermeidung von Schmierstoffen in Gelenklagern durch PVD-Beschichtungen", Bundesministerium fuer Bildung, Wissenschaft, Forschung und Technologie, Abschlussbericht 1997
CK	"Produktnamenverzeichnis-Kohlenstoffschichten", Fraunhofer Institut fuer Schicht und Oberflaechentechnik, 2006
CL	A. HAMMER et al., "Physikalische Formeln und Tabellen", J. Lindauer Verlag, 5., Seite 42-43, Auflage, 1992
CM	RENÉ A. HAEFER, "Oberflaechen - und Duennschicht-Technologie", Teil 1, Springer-Verlag Berlin Heidelberg New York, 1987
CN	"Metallic and other inorganic coatings – Vickers and Knoop microhardness tests", Mikrohaeteproofungen nach Vickers und Knoop, DIN EN ISO 4516, pp. 1-16 (2002)
CO	"Coating (CVD, PVD) of cold forging tools", Beschichten von Werkzeugen der Kaltmassivumformung CVD-und PVD-Verfahren, VDI 3198, pp. 1-8 August 1992
CP	"PVD and CVD hard coatings – quality assurance inspection planning of hard coatings", Qualitaetssicherung bei der PVD – und CVD-Hartstoffbeschichtung, VDI 3824 Blatt 4, S. 12, Abs. 4.4, pp. 1-10 September 1999
CQ	European Search Report dated September 3, 2003 with an English translation of the pertinent portion (Five (5) pages).

Examiner Signature	Date Considered
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